

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Michael F. Angelo et al.

Confirmation No.:

Application No.: Unassigned

Examiner: Unassigned

Filing Date: Herewith

Group Art Unit:

Title: Method and Apparatus for Initializing Multiple Security Modules

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
  - ☐ Statement under 37 CFR 1.97(e), or
  - ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:
  - ☐ Statement under 37 CFR 1.97(e)(1) or (2), and
  - ☐ a \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. **EL990792000US**

Date of Deposit **01/26/2004**

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Alexandria, VA 22313-1450.

By

Typed Name: **Maria Galloway**

Respectfully submitted,

**Michael F. Angelo et al.**

By

**Michael G. Fletcher, Esq.**

Attorney/Agent for Applicant(s)

Reg. No. **32,777**

Date: **01/26/2004**

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

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ATTY. DOCKET NO.

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## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	6,647,415	11/11/2003	Olarig et al.	
	1B	6,633,978	10/14/2003	Angelo et al.	
	1C	6,625,730	09/23/2003	Angelo et al.	
	1D	6,625,729	09/23/2003	Angelo et al.	
	1E	6,609,204	08/19/2003	Olarig et al.	
	1F	6,581,162	06/17/2003	Angelo et al.	
	1G	6,567,901	05/20/2003	Neufeld	
	1H	6,505,268	01/07/2003	Schultz et al.	
	1I	6,502,203B2	12/31/2002	Barron et al.	
	1J	6,477,648B1	11/15/2002	Schell et al.	
	1K	6,470,443B1	10/22/2002	Emer et al.	

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L	EP0851335B1	10/29/2003	Angelo et al.		
	1M	EP0674273B1	05/24/2000	Bryg et al.		
	1N	EP0674273A1	09/27/1995	Bryg et al.		
	1O					
	1P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q	Angelo et al., "Method and Apparatus to Provide Enhanced Computer Protection," Application Serial No. 09/540,697, filed March 31, 2000
	1R	Angelo et al., "Method and Apparatus for Providing Enhanced Computer Security," Application Serial No. 09/540,812, filed March 31, 2000
	1S	Angelo et al., "Computer System Having Security Features," Application Serial No. 09/540,811, filed March 31, 2000

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	2A	6,467,048B1	10/15/2002	Olarig et al.	
	2B	6,463,495B1	10/08/2002	Angelo et al.	
	2C	6,460,121B1	10/01/2002	Bonola	
	2D	6,442,631B1	08/27/2002	Neufeld et al.	
	2E	6,418,533B2	07/09/2002	Angelo et al.	
	2F	6,401,208B2	06/04/2002	Davis et al.	
	2G	6,400,823B1	06/04/2002	Angelo	
	2H	6,370,649B1	04/09/2002	Angelo et al.	
	2I	6,363,449B1	03/26/2002	Side et al.	
	2J	6,330,674B1	12/11/2001	Angelo	
	2K	6,311,273B1	10/30/2001	Helbig Sr. et al.	

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		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	2L					
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## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	2Q	Neufeld, E. David, "Method and Apparatus for Preserving the Integrity of Management Subsystem Environment," Application Serial No. 09/967,268, filed September 28, 2001
	2R	Neufeld, et al., "Method and Apparatus for Generating a Strong Random Number for Use in a Security Subsystem for a Processor-Based Device," Application Serial No. 09/966,890, filed September 28, 2001
	2S	Brown et al., "Method and Apparatus for Preserving a Strong Random Number Across Battery Replacement in a Security Subsystem," Application Serial No. 10/037,511, filed January 4, 2002

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	3A	6,308,265B1	10/23/2001	Miller	
	3B	6,298,411B1	10/02/2001	Giacalone	
	3C	6,288,843B1	09/11/2001	Angelo et al.	
	3D	6,263,431B1	07/17/2001	Lovelace	
	3E	6,199,167B1	06/06/2001	Heinrich et al.	
	3F	6,182,892B1	02/06/2001	Angelo et al.	
	3G	6,167,538	12/26/2000	Neufeld et al.	
	3H	6,134,591	10/17/2000	Nickles	
	3I	6,131,174	10/10/2000	Fischer et al.	
	3J	6,125,446	09/26/2000	Olarig et al.	
	3K	6,119,228	09/12/2000	Angelo et al.	

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## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	3Q	Franz et al., "Method and Apparatus for Initiating Strong Encryption Using Existing SSL Connection for Secure Key Exchange," Application Serial No. 10/037,491, filed January 4, 2002
	3R	Reeves et al., "Virtual Media from a Directory Service," Application Serial No. 10/038,239, filed January 4, 2002
	3S	Reeves et al., "Method and Apparatus for Increasing the Functionality and Ease of Use of Lights Out Management in a Directory Enabled Environment," Application Serial No. 10/037,684, filed January 4, 2002

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	4A	6,118,589	09/12/2000	Angelo et al.	
	4B	6,116,509	09/12/2000	Angelo et al.	
	4C	6,085,299	07/04/2000	Angelo et al.	
	4D	6,061,794	05/09/2000	Angelo et al.	
	4E	6,057,965	05/02/2000	Angelo et al.	
	4F	6,032,257	02/29/2000	Olarig et al.	
	4G	6,026,016	02/15/2000	Gafken	
	4H	6,009,524	12/28/1999	Olarig et al.	
	4I	6,003,144	12/14/1999	Olarig et al.	
	4J	5,974,438	10/26/1999	Nuefeld	
	4K	5,974,250	10/26/1999	Angelo et al.	

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4Q	Franz et al., "Method and Apparatus for Identifying the Write Protect Status of a Diskette," Application Serial No. 10/043,478, filed January 10, 2002
4R	Angelo et al., "Method and Apparatus for Using a MAC Address as Unique Machine Parameters to Identify Equipment," Application Serial No. 10/184,146, filed June 28, 2002
4S	Neufeld et al., "Method and Apparatus to Provide Secure Communications Between Systems," Application Serial No. 10/632,500; filed August 1, 2003

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	5A	5,960,084	09/28/1999	Angelo	
	5B	5,955,722	09/21/1999	Kurz et al.	
	5C	5,953,422	09/14/1999	Angelo et al.	
	5D	5,949,882	09/07/1999	Angelo	
	5E	5,944,821	08/31/1999	Angelo	
	5F	5,923,754	07/13/1999	Angelo et al.	
	5G	5,909,691	06/01/1999	Schultz et al.	
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	5I	5,859,911	01/12/1999	Angelo et al.	
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	6A	5,848,418	12/08/1998	de Souza et al.	
	6B	5,844,986	12/01/1998	Davis	
	6C	5,822,184	10/13/1998	Ravinovitz	
	6D	5,778,070	07/07/1998	Mattison	
	6E	5,748,940	05/05/1998	Angelo et al.	
	6F	5,748,888	05/05/1998	Angelo et al.	
	6G	5,737,744	04/07/1998	Callison et al.	
	6H	5,668,971	09/16/1997	Neufeld	
	6I	5,592,648	01/07/1997	Schultz et al.	
	6J	5,586,274	12/17/1996	Bryg et al.	
	6K	5,522,065	05/28/1996	Neufeld	

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**PATENT APPLICATION**

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**REFERENCE DESIGNATION                      U.S. PATENT DOCUMENTS**

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	7A	5,490,342	02/13/1996	Ruttermann	
	7B	5,440,716	08/08/1995	Schultz et al.	
	7C	5,408,644	04/18/1995	Schneider et al.	
	7D	5,363,273	11/08/1994	Ma	
	7E	5,333,305	07/26/1994	Neufeld	
	7F	5,331,646	07/19/1994	Krueger et al.	
	7G	5,271,152	12/21/1993	Murphy	
	7H	5,249,279	09/28/1993	Schmenk et al.	
	7I	5,224,019	06/29/1993	Wong et al.	
	7J	5,175,670	12/29/1992	Wang	
	7K	5,159,533	10/27/1992	Kuang	

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	8A	5,101,492	03/31/1992	Schultz et al.	
	8B				
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